




**LAC
DMH**
LOS ANGELES COUNTY
DEPARTMENT OF
MENTAL HEALTH

DEPARTMENT OF MENTAL HEALTH POLICY/PROCEDURE

SUBJECT COMPLIANCE PLAN	POLICY NO. 106.11	EFFECTIVE DATE 12/31/2012	PAGE 1 of 3
APPROVED BY:  Director	SUPERSEDES 112.17 12/31/2012	ORIGINAL ISSUE DATE 07/31/2009	DISTRIBUTION LEVEL(S) 1

PURPOSE

- 1.1 To define the Los Angeles County Department of Mental Health's commitment to integrity.

POLICY

- 2.1 The Los Angeles County Department of Mental Health (LACDMH/Department) Compliance, Privacy, and Audit Services Bureau (CPAS) is to operate independently in a manner consistent with the requirements of the United States Department of Health and Human Services, Office of Inspector General, the Office of Civil Rights, and the California Department of Health Care Services.
- 2.2 CPAS is responsible for promoting the highest ethical behaviors within LACDMH, Office of the Public Guardian, and within the community of the Department's contractors and stakeholders.
- 2.3 CPAS is to ensure compliance with federal, state, and County statutes, rules, regulations, and policies and procedures and to effectively identify and stop fraud, waste, and abuse.
- 2.4 CPAS is also responsible for:
- 2.4.1 Protecting the privacy of the LACDMH's clients by ensuring compliance with privacy rules and regulations and by ensuring that our Business Associates are aware of their responsibilities for protecting LACDMH clients' privacy through review and approval of contract agreements.
 - 2.4.2 Recovering funds for exceptions found in audits, reviews, investigations, and inspections.



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- 2.4.3 Providing complete and timely information to the LACDMH Executive Management Team regarding the integrity, efficiency, and effectiveness of departmental programs.

PROCEDURE

- 3.1 CPAS shall report to the Office of the Chief Deputy Director to maintain its independence and objectivity.
- 3.2 CPAS will incorporate in its operations the Elements for an Effective Compliance Program as defined by the Code of Federal Regulations Title 42 Section 438.608 (Authority 1).
- 3.2.1 Develop and implement written policies and procedures and standards of conduct that articulate the organization's commitment to comply with all applicable federal and State standards (References 1, 2, and 3);
- 3.2.2 Designate a Compliance Officer and a Compliance Program Steering Committee (References 4 and 5);
- 3.2.3 Conduct effective training and education for the Compliance Officer and the organization's employees;
- 3.2.4 Develop effective lines of communication between the Compliance Officer and the organization's employees (Reference 6);
- 3.2.5 Enforce standards through well publicized disciplinary guidelines, including but not limited to continuing to not hire or employ sanctioned individuals (References 7 and 8);
- 3.2.6 Conduct internal auditing and monitoring; and
- 3.2.7 Provide for prompt response to detected offenses, develop corrective action plans, and report to the proper enforcement authorities.



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3.3 In addition to the Elements identified above in Sections 3.2.1 through 3.2.7 of this policy, CPAS will continuously identify areas of risk, through its auditing and monitoring and special reviews, that may need management attention and/or corrective actions.

3.3.1 CPAS will participate in the LAC-DMH Risk Management Roundtable (Reference 9).

3.3.2 CPAS will respond to potential non-compliance issues detected through routine monitoring.

3.3.3 CPAS will respond to alleged non-compliance issues as reported to CPAS through other channels including the LAC Auditor-Controller's Office.

AUTHORITY

1. CFR 42 § 438.608, Program Integrity Requirements

REFERENCES

1. LACDMH Policy No. 106.02, Compliance Program: Code of Organizational Conduct, Ethics and Compliance Document Distribution to Employees and Attestation
2. LACDMH Policy/Procedure Manual, Compliance Policies
3. LACDMH Code of Organizational Conduct, Ethics, and Compliance
4. LACDMH Policy No. 106.12, Compliance Officer
5. LACDMH Policy No. 106.07, Compliance Program Steering Committee
6. LACDMH Policy No. 106.01, Compliance Program Communication
7. LACDMH Policy No. 605.01, Discipline
8. LACDMH Policy No. 106.03, Employees Ability to Provide Goods and Services Under Federally Funded Health Care Programs
9. LACDMH Policy No. 106.16, Annual Compliance Program Risk Assessment

RESPONSIBLE PARTY

LACDMH Compliance, Privacy, and Audit Services Bureau